



DMR Quality Service Review

Vendor Certification Overview

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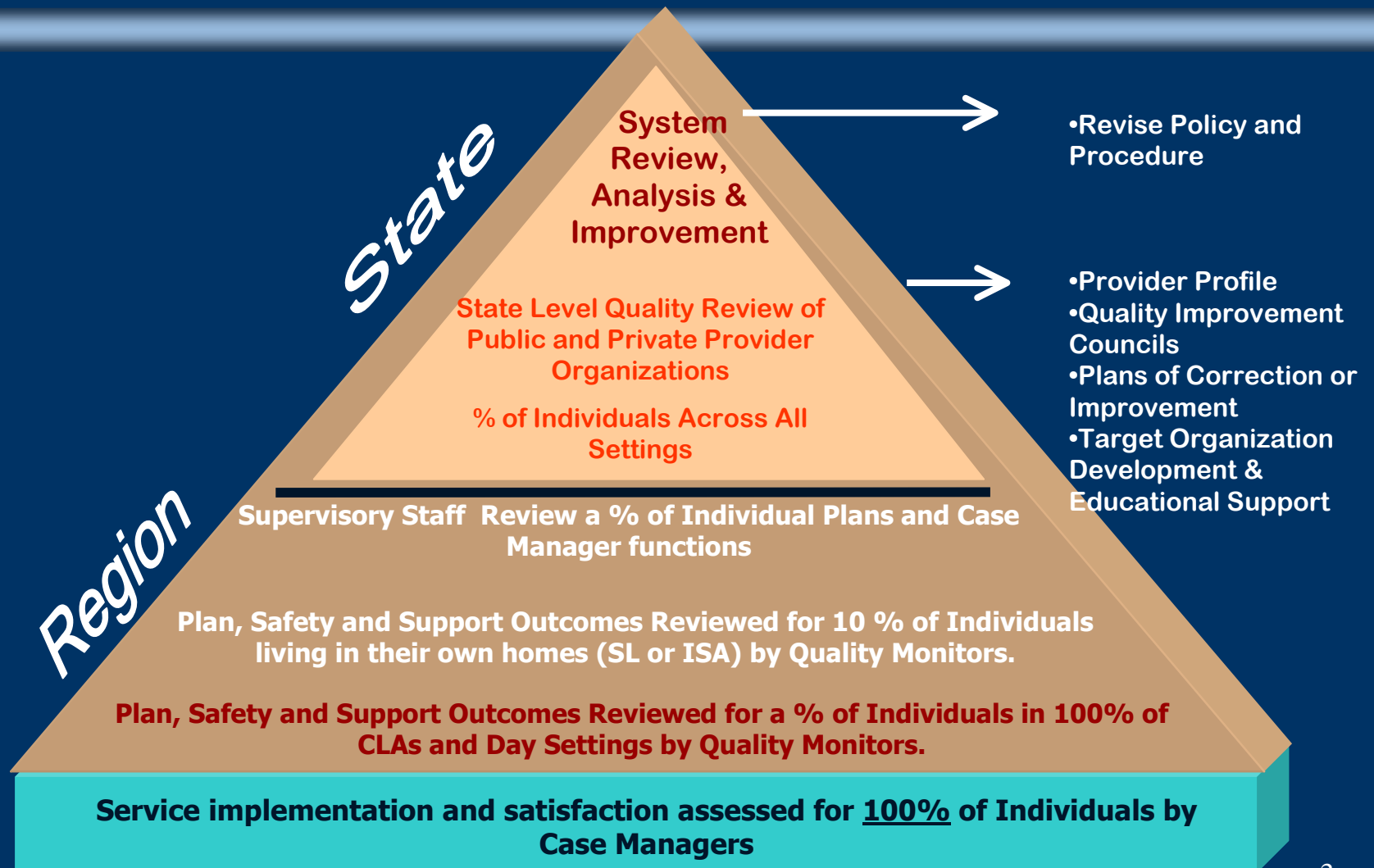
Laura Nuss, Director of Strategic Leadership
Daniel Micari, Director of Quality Management
Fred Balicki, Licensed Facilities Specialist Supervisor

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Quality Service Review Overview

- The Quality Service Review (QSR) will certify private and public service vendors using a new set of quality measures in addition to reviewing regulatory or policy standards
- The QSR is a service review and certification process to determine the quality of service delivered by qualified vendors, and a personal outcome review to assess individual consumers' experience and satisfaction with services and supports
- The QSR serves as a foundation for gathering system wide information for quality review and improvement

Quality Service Review



INDIVIDUAL PLAN DEVELOPMENT, IMPLEMENTATION, & MODIFICATION



QSR and Vendor Certification

- The QSR for Vendor certification combines regional review information along with a Vendor's performance data from incident reporting, abuse/neglect, PRC and HRC, mortality review, financial audits etc. for a biennial retrospective review
- A sample of Individuals from each service is selected to conduct the consumer and service reviews
- This information for consumers and services may validate other findings, reinforce evidence that the Vendor has systematically improved, or suggest that performance may not be consistent with other findings

Integrating Regional & State Quality Systems

Performance measures and expectations are drawn from one pool of quality data indicators

Quality Service Review Indicators

Observation	Documentation	Consumer Interview	Support Person Interview	Safety Checklist	Application Packet
22 items	60 items	74 items	51 items	52 items	9 items

Regional Quality Review Visit Consumer Interview

Observation
Documentation
Safety Checklist
Support Person Interview

Interim Tracking System

Case Management Review Consumer Interview

Observation
Documentation
Any Observed Non-Compliant
Safety Indicators

Case Management Supervisor Review Documentation Indicators

Central Office (CO) QSR Certification Review

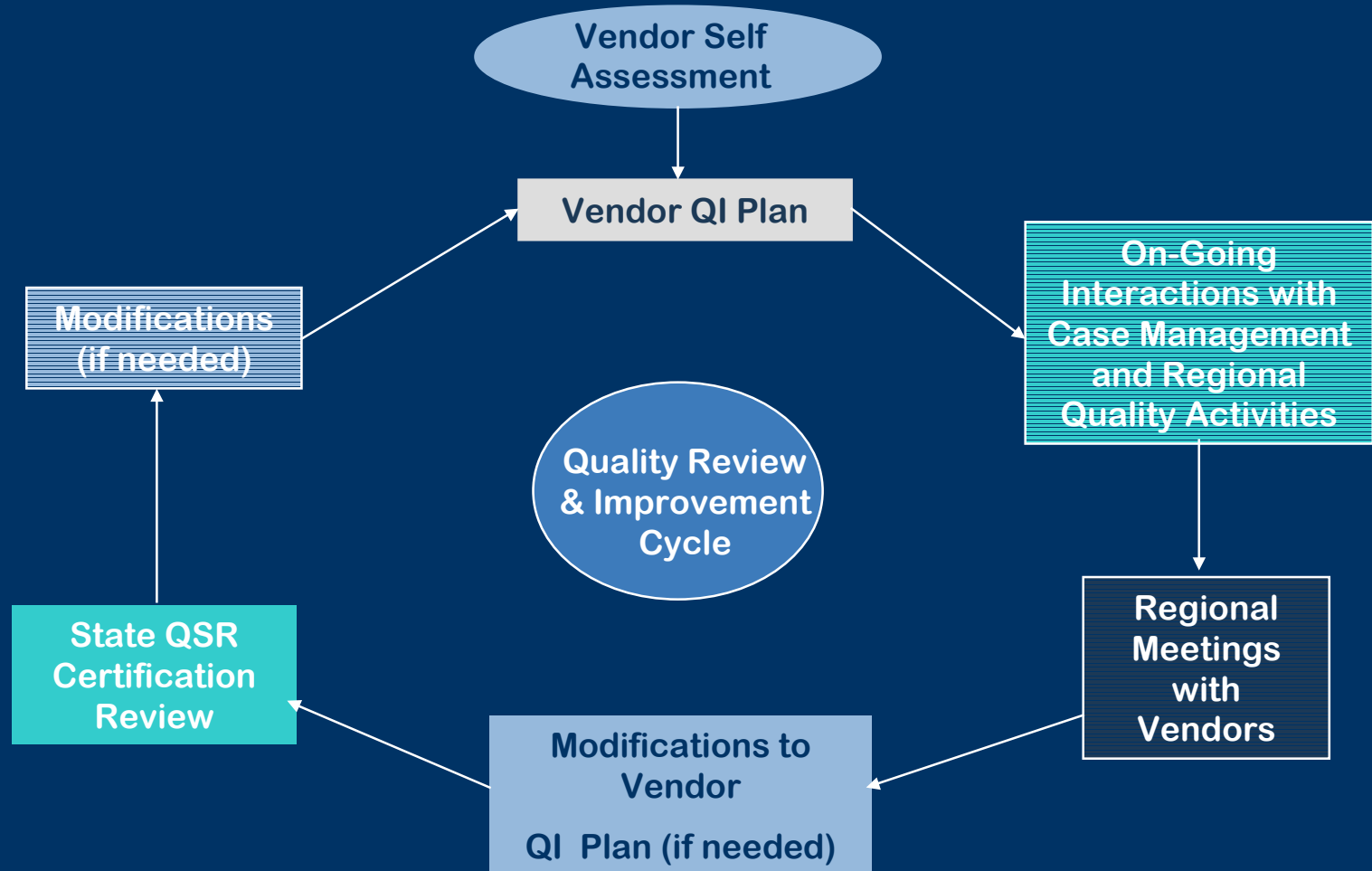
MY QSR: New Web-based Data Management System – QI Grant



Integrating QSR Certification Process with Existing Activities

- The QSR will include the Vendor self-assessment and quality improvement planning activities to evaluate the effectiveness of their own service and quality management systems
- Findings from all levels of interaction with the department will continually inform on-going quality improvement efforts by the Vendors and DMR

Quality Review & Improvement Cycle



Certification is Service Specific

- Supported Living / IS Habilitation- Person's Own Home
- Supports in a Family Home
- Self-Directed Supports
- Day Service Option
- Sheltered Work
- Supported Employment – Individual and Group
- Individualized Day Support
- Respite
- In-Home Respite
- Case Management
- Community Living Arrangement, 4 or more Consumers
- Community Living Arrangement, 3 or Fewer Consumers
- Public Residential Center

QSR Tools are Tailored to Each Service

QSR Components

- ***Focus Areas*** (8) organize the major sections of the QSR Tool.

Planning & Personal Achievement
Relationships & Community inclusion
Choice & Control
Rights, Respect & Dignity

Safety
Health & Wellness
Satisfaction
Administration

- There are 56, ***Personal Outcomes and Support Expectations*** found in the master tool under the Focus Areas
- ***Personal Outcomes*** identify desired results regarding the individuals' experiences
- ***Support Expectations*** identify ways that vendors may assist individuals to achieve those personal outcomes
- Each Personal Outcome and Support Expectation is informed by quality indicators

QSR Components, *continued*

- *Quality Indicators*, totaling 268, are assessed through:
 - ❖ Consumer Interview – 74, Support Person Interview - 51
 - ❖ Observation – 22, Documentation Review- 60
 - ❖ Safety Checklist – 52, Application Packet – 9
- Indicators are aligned according to types of service. Not all indicators apply to each service
- *Interpretive Guidelines* provide information from policy and procedure, regulation, best practice and reference specific definitions and sources. They also provide applicable condition examples and discussion for Reviewers and Vendors

Data Collection

Reviewers use Quality Indicators to collect data in order to determine if the QSR Personal Outcomes, Support Expectations and Focus Areas are achieved. Quality Indicators identify items for review and verification. The data collection methods are:

- Observation of the individual where supports are provided
- Documentation Review of the individual's Individual Plan and other records
- Safety Checklist review of the individual's environment and emergency planning
- Interviews with the individual receiving services and a support person
- Application Packet for vendor services required information verification

Findings are entered into a data system and sorted to apply to the appropriate Outcome or Indicator for the service reviewed.

QSR Ratings

Ratings occur at two levels for each individual reviewed:

- ❖ Quality Indicator
- ❖ Personal Outcome / Support Expectation

Ratings occur at two levels for each service reviewed:

- ❖ Personal Outcome / Support Expectation
- ❖ Focus Area

Individual Level Indicator Ratings



MET EXEMPLARY

- The indicator is present for the Individual
- The Vendor's performance addresses the indicator issue which reflects generally agreed upon best practices

MET

- The indicator is present for the Individual

NOT MET

- Any aspect of the indicator is not present for the Individual

NOT MET, REQUIRES
FOLLOW UP

- The indicator is not present
- The issues addressed by the indicator requires a written action plan from the vendor

Individual Level

Indicator Ratings, *continued*

NOT MET - CM

- DMR Responsible - Case Management as a service
- The indicator is not present
- The issues identified are the responsibility of the DMR Case Manager

NOT MET - DMR

- DMR Responsible
- The indicator is not present
- The issues identified by the indicator are the sole responsibility of the DMR system (I.e. PRC)

NOT APPLICABLE

- The indicator does not relate to the individual or service type being reviewed

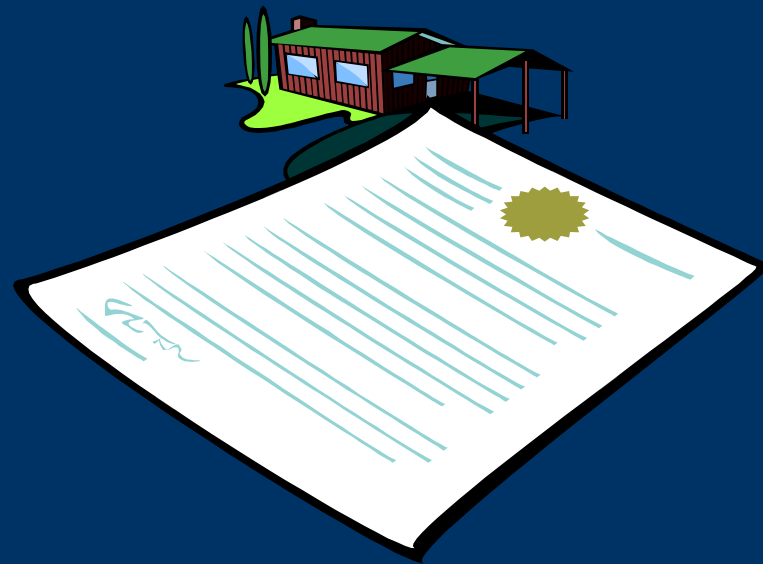
NOT RATED

- The indicator is applicable to the Individual or service type, but circumstances have not allowed the reviewer to evaluate the indicator

Individual Level Indicator Rating Decisions

Based on the Interpretive Guidelines that use:

- Policies and Procedures
- Best Practices
- Training Manuals
- Regulations
- CMS Protocols



Individual Level Outcome & Expectation Ratings

Personal Outcomes

- Achieved - the desired outcome is present at this time for the individual
- Partially Achieved - the individual is not fully experiencing the desired outcome
- Not Achieved - the desired outcome is clearly not present for the individual
- NA & NR – same as indicator

Support Expectations

- Achieved - necessary supports are in place for the individual to experience positive outcomes
- Partially Achieved - some but not all of the necessary supports are in place to help the individual experience a positive outcome
- Not Achieved - sufficient supports have not been implemented to allow the individual to experience positive outcomes
- NA & NR - same as indicator

Individual Level

Outcome & Expectation Rating Decisions

Based on:

- All Indicators Associated with each Outcome or Expectation
- Indicator Attributes, e.g. “Outcome Not Achieved” (ONA) meaning without this Indicator the Outcome or Expectation can not be Achieved
- Needs/Personal Goals/Preferences of the Individual
- Type of Service
- Extent of the Circumstance Reviewed



Service Level

Outcome & Expectation Ratings

- Rated Achieved, Partially Achieved, or Not Achieved, only with Vendor Responsible Quality Indicators
- Minimum Expectations Range from 50 – 90% of all Consumers sampled to be Achieved for a service rating depending on the Outcome or Expectation
- Findings should be viewed along with the Regional Findings over time to Validate Sample

Service Level Focus Area Ratings

Satisfactory

- The most important (at least 75%) Outcomes and Support Expectations associated with that Focus Area have been rated achieved, *and* any Outcome or Expectation that is rated “Not Achieved” does not, in the reviewer’s judgment, reflect the presence or likelihood of a serious negative outcome for the Individual

Needs Improvement

- The majority of the most important Outcomes and Support Expectations associated with that Focus Area have been rated “Partially Achieved”, *or* when the percentage of “Achieved”, and/or “Partially Achieved” and/or “Not Achieved” ratings are relatively equal, and none constitutes a majority of the ratings (Again, without the presence or likelihood of a serious negative outcome)

Individual Level

Focus Area Ratings, *continued*

Unsatisfactory

- A majority of the most important Outcomes and Support Expectations associated with that Focus Area have been rated “Not Achieved”, *or* when, in the reviewer’s judgment, any Outcome or Expectation that is rated “Not Achieved” reflects the presence or likelihood of a serious negative outcome for the individual

NA & NR

- Same as Outcome Rating

Considering the use of “Exemplary” Rating



Service Level Focus Area Rating Decisions

Based on:

- **Aggregate Personal Outcomes/Support Expectations associated with each Focus Area**
- **Balance between what the person experiences for Outcomes and the degree the Vendor has provided positive supports to achieve those Outcomes**
- **Emphasis on Health and Welfare of Individual where appropriate**

Outcome & Expectation Summary Report

Each outcome and support expectation is rated for a summary report.

State of Connecticut		Quality System Review PO/SE Rating Summary Report			
Query Selection:					
Vendor:	BENHAVEN INC.	PIN #:	118		
Service:	SEI	Review Start:	12/06/2005	Review End:	12/06/2006

I Planning and Personal Achievement

I.O.1 Planning Process Direction
The individual directs his or her planning process.

Outcome Summary

# Achieved	% Achieved	# Needs Improvement	% Needs Improvement	# Not Achieved	% Not Achieved
1	100 %	0	0 %	0	0 %

I.O.2 Preferences and Goals
The individual expresses preferences and personal goals for inclusion in the planning process.

Outcome Summary

# Achieved	% Achieved	# Needs Improvement	% Needs Improvement	# Not Achieved	% Not Achieved
0	0 %	1	100 %	0	0 %

I.O.3 Service and Provider Choice
The individual chooses services, the degree of self-direction and providers to the extent he or she wishes.

Outcome Summary

# Achieved	% Achieved	# Needs Improvement	% Needs Improvement	# Not Achieved	% Not Achieved
1	100 %	0	0 %	0	0 %

Vendor Service Summary Report

Focus Area and Outcome results are identified and summarized for each service.

State of Connecticut		Quality System Review Focus Area/Outcome Rating Report Vendor and Service			
Vendor:	BENHAVEN INC.	Review Date:	12/13/2006		
Service:	SEI	Reviewer Name:	sokolowd		
		Reviewer Role:	State Quality Monitor		
I Planning and Personal Achievement					
<ul style="list-style-type: none"> • Achieved 					
Comments: <u>These are test comments for the purposes of training.</u>					
I.O.1 Planning Process Direction		Achieved			
The individual directs his or her planning process. Comments:					
CO Sample Reviews:	# of Reviews:	0	Review Period:	9/5/2006 - 12/6/2006	Rating: 0.000
Reviews:	# of Reviews:	0	Review Period:	12/6/2005 - 12/6/2006	Rating: 0.000
Review Summary:					
Outcome Code	Date Ranges	# of Reviews	# of Met Ratings	% of Met Ratings	Rating
I.O.1	Summary	0	0	0 %	0.000
	12/6/2006 - 9/8/2006	0	0	0 %	0.000
	9/7/2006 - 6/11/2006	0	0	0 %	0.000
	6/10/2006 - 3/14/2006	0	0	0 %	0.000
	3/13/2006 - 12/15/2005	0	0	0 %	0.000
	12/14/2005 - 12/6/2005	0	0	0 %	0.000

Examples of Certification Reporting

For a Service Type:

- Will present for each review method what percentage of indicators were met, for example; 80% Consumer Interview questions were met, 65% of Staff Interview questions, 82% of Document Indicators, and 75% of Safety/Physical Environment Indicators
- For each Outcome and Support Expectation, the percentage of people reviewed who achieved the Outcome or for whom the Support Expectation was present, for example; 75% of the Consumers directed the planning process, 85% of the Consumers received needed health care. Each one of these will have a minimum expectation set (i.e. at least 90%) below which some improvement efforts may be requested or identified

Vendor Certification Reporting

- Findings are reported including those over time for all individuals who may have been evaluated by Case Management and Regional Staff, and the results for specific sample of individuals at the time of the review
- Service Findings are discussed with Vendors in the context of their Quality Improvement Planning
- Existing Expectations will continue in plan Implementation, Environmental Safety, Consumer Rights and Health and Welfare
- Vendor performance benchmarks will be adjusted over time as reviews are completed
- Findings will be posted on the DMR web site using easy to understand aggregate reports for Families and Consumers by Focus Areas for vendors.

Vendor Certification Process

Pre-Review Activity:

- Vendor Certification QSR anticipated every two years
- Includes review of all Vendor Services
- Vendor informed in writing 60 to 90 days prior to review for QSR application completion
- Quality Management (QM) Vendor Application review related to organization and services - includes staff training curriculum.
- QM selects Consumer samples for Vendor services
- QM sends Vendor a written meeting notice to schedule the QSR
- QSR Orientation Meeting involves the Vendor Liaison and a Representative for each service, if necessary

Vendor Certification Process,

continued

Review Activity:

- Individual's Case Manager is notified of the QSR
- Interview's are arranged at mutually convenient times, considering the review timeline
- Observations and Safety Checklist not conducted at employment settings
- Documentation review conducted at appropriate locations determined with Vendor and Case Manager input

Data Entry:

- Reviewers enter findings in the My QSR application
- QSR reports are available to vendor in My QSR for review before the feedback meeting date

Vendor Certification Process, *continued*

Vendor Feedback Meeting:

- Service summary information discussion of main findings at the level of Focus Area, Personal Outcome and Support Expectation – includes State and Regional Reviewer and Case Management findings from the biennial review period
- Vendor has opportunity to present additional information for reviewer consideration before a final report is completed
- Discuss best practices observed and the Vendor's Quality Management System
- Provide QSR Feedback Questionnaires for completion

Licensure Transition to the QSR

- CLAs will still need a “license” to operate and maintain DSS funding requirements
- This “licensing” will occur at the time of the Vendor Certification QSR for all homes
- Regional staff complete Environmental Safety Reviews of each home each year. The Quality Indicators address all Physical Environment elements found in regulation. Regional Staff also complete a broader review of at least one Individual per home each year
- Central Office Reviewers conduct Consumer reviews at a sample of locations operated by the Vendor at the time of the Certification Review
- Action Plans will be continue to be required for select Quality Indicators that affect Consumers’ Health and Welfare during Regional and State Level Reviews



Additional Components Contributing to Vendor Certification Review

The following Quality System components will contribute to Certification Review Findings:

- PRC and HRC Committees
- Medication Administration Regulations
- Incident and Abuse / Neglect Reporting and Follow-up
- Mortality Reviews
- Resource Administration and Monitoring
- Complaints
- Financial Audits

Implementation Plan

- West Region QSR Web-based Application training is currently underway
- Notification Letters have been sent to 14 Vendors
- QSR will begin in mid-January with non-CLA Vendors that provide services only in the West Region
- Additional reviews will be planned and coordinated with the North and South Regions
- CLA reviews to be integrated into QSR

Reference

Please see the DMR web site: <http://www.dmr.state.ct.us/>

For More Information On...

- Licensing
- DMR HCBS Waivers
- Supports and Services
- Provider Forms
- DMR Manual – Service Delivery
- Fire Safety and Emergency Guidelines